

MAR 21 2008

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-057-08-7	DATE RECEIVED 3/21/08
1 FROM (Agency or establishment) Department of the Interior		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION U.S. Geological Survey		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Geology Discipline			
4. NAME OF PERSON WITH WHOM TO CONFER Carol Wippich	5 TELEPHONE 703-648-7109	DATE 1-13-09	ARCHIVIST OF THE UNITED STATES <i>Adrian Thomas</i>

6 AGENCY CERTIFICATION  
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

DATE 3/4/2008	SIGNATURE OF AGENCY REPRESENTATIVE <i>Jillian O'Connell</i> Jillian O'Connell	TITLE Chief, Enterprise Information & Investment Management Office
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>The U.S. Geological Survey (USGS), established in 1879, is the Nation's principal natural science and information agency. The USGS conducts research, monitoring, and assessments to contribute to understanding the natural world - America's lands, water, and biological resources. The USGS provides reliable, impartial information to the citizens of this country and the global community in the form of maps, data, and reports containing analyses and interpretations of water, energy, mineral and biological resources, land surfaces, marine environments, geologic structures, natural hazards, and dynamic processes of the Earth. USGS data and information are used daily by managers, planners, and citizens to understand, respond to, and plan for changes in the environment.</p> <p>The USGS serves the nation by providing reliable scientific information to describe and understand the Earth, minimize loss of life and property from natural disasters, manage water, biological, energy, and mineral resources, and enhance and protect the quality of life.</p> <p>The USGS has the following NARA approved records schedules in place and being maintained by the bureau:</p> <ul style="list-style-type: none"> <li>The General Records Disposition Schedule dated April 2003</li> <li>The National Mapping Discipline Mission-Specific Records Schedule dated May 1999</li> <li>The Water Resources Discipline Mission-Specific Records Schedule dated May 13, 2006</li> <li>The Biology Discipline Mission-Specific Records Schedule dated July 3, 2007</li> <li>The Special Geologic Studies Group Records Disposition Schedule dated August 1, 2007</li> </ul> <p>In addition, the USGS currently has at NARA for review and approval the Geospatial Information Office Mission-Specific Records Schedule and a revision to the National Mapping Discipline (now known as the Geography Discipline) Mission-Specific Records Schedule. The attached revised schedule will replace the current Geologic Discipline Mission-Specific Records Schedule dated September 1993.</p>		

## APPENDIX 1

### Geology Discipline Research Records Schedule

#### *Introduction*

This schedule is media neutral—it covers all records regardless of media.

Records are listed here by function and this schedule examines only research records. Within the research function are two primary divisions:

- Records that researchers produced in the furtherance of their work;
- Index/metadata records that may be created at the time of the research or at some later time and are necessary to associate records with projects, land, oceanic or planetary locations, and other data descriptions.

Research records in the Geology Discipline (GD) are often kept in the form of collections that compile and integrate data records from multiple scientific investigations. These collections include log books, field records, laboratory analyses, remote sensing data, and similar electronic records stored on network or hard drives, CDs (compact disks), DVD (Digital Versatile Disc), etc.

When filed as collections of like records, indices and metadata often link records with projects, events, or research. That includes data acquisition, processing, and quality-control activities. Individual research projects can also be documented in case files (records that pertain to only one project or event).

Many collections and associated activity records are listed under research records in 1900-01a. *Significant Research Records* (permanent). However, some research projects are minor or do not achieve enough results to justify placing them in the collections. The principal researcher should maintain these records under 1900-01b. *Secondary Research Records* or 1900-01c. *Minor Research Records* depending on how useful the records may be to future researchers. Certain projects that were suggested, but never received funding are filed under 1900-01e. *Unfunded Projects*.

Other records, such as copies of materials secured as part of the research which are not used in significant research projects, personal notes, preliminary versions of calculations, models, computer code, and other materials produced in the course of a research that will not be useful for subsequent research, are filed under 1900-01f. *Research Support Records*.

As stated above, many research records in 1900-01a. are filed as collections. Researchers, data managers, information scientists, and others create indices that capture significant data about the research, including the project description. These indices can be in the form of catalogs or as metadata lists. The electronic indices can be structured or unstructured (i.e., a list of metadata tags). All indices, regardless of format, need to be retained for the life of the record. Indices and metadata are filed under 1900-02.

The schedule includes criteria to help place research records into the appropriate categories. For further information on USGS Records Management and the use of this schedule see the GD Research Records User's Guide.

## *Geology Discipline Research Records Schedule*

<b>USGS Records Schedule</b>	
<b>Scientific Research Conducted in the Geology Discipline</b>	
<b>1900-01</b>	<p><b>Research Records</b> Records related to research conducted in the Geology Discipline. Records represent scientific data and all aspects of research including project development, demonstration, distribution, assessment, testing, and related tasks. Research leaders, section leaders, scientists, technicians, engineers, and computer scientists create these records.</p> <p><b>Description:</b> Records document the planning, history, results, and outcome of a scientific project or any other research conducted as part of USGS's goals and missions or under the supervision of USGS employees.</p> <p>These records include planning documents (<i>e.g.</i> proposals, BASIS+ project descriptions—BASIS descriptions and similar records should be filed as administrative records and will have a separate retention). Also included are documents that evaluate or appraise a project or other research during its course. Although administrative in nature, planning documents should not be removed from the files even if copies exist elsewhere.</p> <p>Records include original observations such as maps and charts with notes and measurements, field records, sample identification notes, analyses and observations made with electronic or other equipment, laboratory notebooks, databases that contain scientific observations, modeling and sampling methodologies, and any other research related documentation.</p> <p>Most projects or research will end with a publication, which could be paper or web-based. If the publication is a USGS publication (other than an open-file report), the record would include only a reference for the publication. If the publication is a USGS open-file report or an outside publication, then the record would include one copy. Records in</p>

	<p>this category may include one copy of an unpublished report, map, chart, or other product along with supporting documentation.</p> <p><b>Retention:</b> Many of these records have permanent or long-term temporary values. Permanent records will be transferred to the National Archives and Records Administration (NARA) when USGS has no further use for them.</p> <p>In the case of electronic records, USGS may “pre-accession” permanent records by sending a copy to NARA before the cutoff or transfer instructions stated below. This action will satisfy the requirement to send permanent records to NARA as well as providing another repository for USGS electronic records.</p> <p>Researchers and their supervisors, in consultation with records managers when necessary, will decide if records will be retained permanently or temporarily based on the following criteria.</p> <p><b>Retention Selection Criteria:</b> Research records meeting one or more of the following criteria are considered permanent and will be clearly labeled as such. When they are transferred to NARA, all permanent research records must have a statement certifying that they have been appropriately reviewed according to USGS policy.</p> <ul style="list-style-type: none"> <li>• Records of scientific investigations that are deemed to be Influential Scientific Information or Highly Influential Scientific Assessments (per Office of Management and Budget (OMB) Bulletin for Peer Review, December 15, 2004): <ul style="list-style-type: none"> <li>○ Scientific information that USGS reasonably determines will have or does have a clear and substantial impact on important public policies or private sector decisions.</li> <li>○ An evaluation of a body of scientific or technical knowledge, which typically synthesizes multiple factual inputs, data, models, assumptions, and/or applies best professional judgment to bridge uncertainties</li> </ul> </li> </ul>	
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	<p>in the available information.</p> <ul style="list-style-type: none"><li>○ A scientific assessment is a subset of “influential scientific information” and is considered “highly influential” by the agency or the OIRA Administrator [Office of Information and Regulatory Affairs in OMB] determines the dissemination could have a potential impact of more that \$500 million in any one year on either the public or private sector or that the dissemination is novel, controversial, or precedent setting, or has significant interagency interest.</li><li>● Long-term data collections and monitoring efforts of national or international interest.</li><li>● Datasets that are irreplaceable, relevant to the USGS mission, and in a condition which allows future use.</li><li>● Scientific investigations that receive national or international awards of distinction.</li><li>● Works of prominent USGS investigators of widely recognized professional stature, or who have received national or international recognition outside their professional discipline.</li><li>● Activities that result in a significant improvement in public health, safety, or other vital public interest.</li><li>● Significant contributions to new national or international environmental policies, or had a significant impact on the development of new national or international scientific, political, economic, or social priorities.</li><li>● Subjects of widespread national or international media attention.</li><li>● Materials related to significant social, political, or scientific controversy.</li></ul>	
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	<ul style="list-style-type: none"> <li>• Activities subject to extensive Congressional, Department of the Interior, or other government agency scrutiny or investigation.</li> <li>• Precedents that significantly change USGS scientific investigations.</li> <li>• All project publications.</li> </ul>	
<p><b>1900-01a</b></p>	<p><b>Significant Research Records</b>  Records in this category are those that meet one of the above criteria. These records may be datasets, field records, and other information necessary to understand a research project. They may also be connected to other data through metadata, indices, or other means.</p> <p>The Geology Discipline collects physical samples as part of its research. Records on samples include descriptions of the samples, how and why they were collected, the name of the collector, and the place of collection. If the physical samples are transferred to another organization, copies of these records may accompany the transfer at the discretion of the receiving organization. The original (or copy in the case of electronic records) documentation will remain with USGS and scheduled with the appropriate project records.</p> <p><b>Media:</b> Records may be in any media including electronic, photographs (digital and film), video, paper, etc.</p> <p><b>System Documentation:</b> Any manuals, software code, etc. necessary to understand, interpret, or preserve electronic records listed in this item, must be retained and transferred with the records they support.</p>	<p><b>PERMANENT.</b></p> <p><b>Cutoff</b> after the completion of the project or when USGS has no expected research, business, or other purposes for the records, whichever is later.</p> <p>In the case of physical samples records, cutoff will be when the samples are consumed in research or transferred to another entity.</p> <p><b>NOTE:</b> Do not transfer samples to NARA, only records about samples.</p> <p><b>Transfer</b> physical records to the FRC in five</p>

		<p>(5) year blocks and accession to NARA 20 years after cutoff.</p> <p><b>Transfer</b> copies of permanent electronic records to NARA every three (3 years) regardless of cutoff with any finding aids and related documentation (i.e. 1900-02a) as specified in 36 CFR 1228.270 or according to standards applicable at the time.</p>
<p><b>1900-01b</b></p>	<p><b>Secondary Research Records</b>  Research records that do not meet the criteria as permanently significant records.</p> <p>Research records that may be appropriate for long-term retention are those that:</p> <ul style="list-style-type: none"> <li>• Have implications or usefulness for future scientific investigations.</li> <li>• Might benefit from the passage of time for determining their value.</li> </ul> <p>Records may also include background materials maintained by individual researchers used to understand scientific advances, learn new techniques, or to prepare for a new project. Records may include information on physical samples such as descriptions of the samples, how and why they were collected, the name of the collector, and the place of collection. If the physical samples are transferred to another</p>	<p><b>Temporary.</b></p> <p><b>Cutoff</b> 1 year after project completion, cancellation, or termination.</p> <p>In the case of physical samples records, cutoff will be when the samples are consumed in research or transferred to another entity.</p>

	<p>organization, copies of these records may accompany the transfer at the discretion of the receiving organization. The original (or copy in the case of electronic records) documentation will remain with USGS and scheduled with the appropriate project records.</p> <p><b>Media:</b> Records may be in any media including electronic, photographs (digital and film), video, paper, etc.</p> <p><b>System Documentation:</b> Any manuals, software code, etc. necessary to understand, interpret, or preserve electronic records listed in this item, must be retained for the full retention.</p>	<p><b>NOTE:</b> Do not transfer samples to NARA for temporary storage, only records about samples.</p> <p><b>Transfer</b> to off site storage 5 years after cutoff.</p> <p><b>Destroy</b> 40 years after cutoff.</p>
<p><b>1900-01c</b></p>	<p><b>Minor Research Records</b>                  Research records similar to 1900-01a and 1900-01b that may be appropriate for short-term retention are those that:</p> <ul style="list-style-type: none"> <li>• Relate only to narrowly-focused, short-term tasks with the primary purpose of providing a client with an answer to a specific, local problem/question.</li> <li>• Are not part of any scientific investigation of larger scope.</li> <li>• Do not have the potential for developing into an expanded investigation.</li> </ul> <p>If physical samples records are included and if the physical samples are transferred to another organization, copies of these records may accompany the transfer at the discretion of the receiving organization. The original (or copy in the case of electronic records) documentation will remain with USGS and scheduled with the appropriate project records.</p> <p><b>Media:</b> Records may be in any media including electronic, photographs (digital and film), video, paper, etc.</p> <p><b>System Documentation:</b> Any manuals, software</p>	<p><b>Cutoff</b> at end of the calendar year in which research was completed.</p> <p>In the case of physical samples records, cutoff will be when the samples are consumed in research or transferred to another entity.</p> <p><b>NOTE:</b> Do not transfer samples to NARA for temporary storage, only records about samples.</p> <p><b>Transfer</b> records to off site storage 2 years after</p>



	code, etc. necessary to understand, interpret, or preserve electronic records listed in this item, must be retained for the full retention.	cutoff or maintain in agency space.  <b>Destroy</b> 5 years after cutoff.
<b>1900-01d</b>	<p><b>Physical Sample Control Records</b> Records include databases, inventory lists, or similar routine information used to track locations, movement, receipt, etc. while samples are in USGS custody.</p> <p>If these records include information in how, where, when samples were collected, file these records under Items 1900-01a or 1900-01b, whichever is most appropriate.</p>	<p><b>Cutoff</b> at end of the calendar year in which samples were consumed, disposed of, or given to another Federal agency, state entity, or cultural institution.</p> <p><b>Transfer</b> records to off site storage 2 years after cutoff or maintain in agency space.</p> <p><b>Destroy</b> 10 years after cutoff.</p>
<b>1900-01e</b>	<p><b>Unfunded Projects</b> Records related to research proposals that are not funded or approved. Records include proposals, background materials, support documentation, correspondence, and justifications for and against the proposal.</p>	<p><b>Cutoff</b> at end of the calendar year the project is disapproved.</p> <p><b>Transfer</b> records to off site storage 2 years after cutoff or maintain in agency space.</p> <p><b>Destroy</b> 5 years after cutoff.</p>
<b>1900-01f</b>	<p><b>Research Support</b> Records include copies of materials secured as part of research (illustrations, photographs, references used as background material, etc.) which were not</p>	<p><b>Cutoff</b> at end of the calendar year the project is completed.</p>

	<p>used in significant research projects.</p> <p>Also included are personal notes; preliminary versions of calculations, models, and computer code; and other materials produced in the course of a research that will not be useful for subsequent research.</p>	<p><b>Transfer</b> records to off site storage 2 years after cutoff or maintain in agency space.</p> <p><b>Destroy</b> 5 years after cutoff.</p>
1900-01g	<p><b>Physical Sample Gift Records</b> Records include deed of gifts, transfer receipts, or similar documentation when samples are given to any other Federal agency, state entity, cultural institution, university or any other such organization. NOTE: this description does not include physical samples, only records of samples.</p>	<p><b>PERMANENT.</b></p> <p><b>Cutoff</b> at the end of the calendar year in which samples were given to another entity.</p> <p><b>Transfer</b> to FRC in five (5) year blocks and accession to NARA 20 years after cutoff.</p> <p><b>Transfer</b> copies of permanent electronic records to NARA every three (3 years), regardless of cutoff, with any finding aids and related documentation as specified in 36 CFR 1228.270 or according to standards applicable at the time.</p>

		<b>NOTE:</b> Do not transfer samples to NARA, only records about samples.
<b>1900-02</b>	<p><b>Indices/Metadata</b> These are records that locate, categorize, identify, or maintain links between other records. Most of these records are relational or unstructured databases or similar catalogs of data. A few are lists of Uniform Resource Locators (URLs).</p> <p><b>Retention:</b> These records are continually updated. In some cases, links to temporary research records, unfunded proposals, and similar are deleted in the ordinary course of business. Links to permanent records must be maintained permanently.</p> <p><b>Media:</b> Most of these records are electronic, but can be paper-based catalogs or any other media.</p>	
<b>1900-02a</b>	<p><b>Indices/Metadata to Permanent Data</b> Any index, collection of metadata, catalog or other document, database, data set, or any other format that contains links to or between research records that are listed in this schedule (see Items 1900-01a and 1900-01g) as permanent is also permanent. Indices and metadata record the connections between primary research records and the projects in which they were created and used. They do not include unique research records.</p> <p><b>System Documentation:</b> Any manuals, software code, etc. necessary to understand, interpret, or preserve electronic records listed in this item, must be retained and transferred with the records they support.</p>	<p><b>PERMANENT.</b></p> <p><b>Cutoff</b> when records they relate to are cutoff.</p> <p><b>Transfer</b> copies of permanent electronic records to NARA every three (3 years) regardless of cutoff with any finding aids and related documentation</p>

		<p>(i.e. 1900-01a) as specified in 36 CFR 1228.270 or according to standards applicable at the time.</p> <p><b>NOTE:</b> Transfer any physical indices other than manuals or software documentation to the FRC in five (5) year blocks and accession to NARA 20 years after cutoff.</p>
<p><b>1900-02b</b></p>	<p><b>Indices/Metadata to Exclusively Temporary Data</b>  Any index, collection of metadata, catalog or other document, database, data set, or any other format that only contains links to or between research records listed in this schedule as temporary is also temporary. Indices and metadata record the connections between primary research records and the projects in which they were created and used. They do not include unique research records.</p> <p><b>System Documentation:</b> Any manuals, software code, etc. necessary to understand, interpret, or preserve electronic records listed in this item, can be destroyed with the records.</p>	<p><b>Cutoff</b> at the end of the calendar year when there is no further use for the index.  Destroy when related asset (1900-01b and 1900-01c) is destroyed</p>